

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Child and Family Services Agency



Administrative Issuance: CFSA-08-5

TO: All-staff

FROM: Ronnie Charles, Senior Deputy for Administration

DATE: June 2, 2008

RE: Central Files Unit and Records Management Procedures

The Child and Family Services Agency (CFSA) provides specific guidelines in establishing procedures for a Central Files Unit (CFU). The CFU shall maintain control over all case records and essential information relating to services provided by CFSA. This issuance sets forth specific guidelines by which the CFU shall meet quality documentation and archival standards while preserving case records in appropriate condition for retrieval or transfer when necessary. All CFSA case records, pertaining to hard copy unless otherwise noted, are the exclusive property of CFSA, regardless of where they are maintained or located.

CFSA follows the principle safeguards, standards and procedures set forth in the DC Code and Health Insurance Portability and Accountability Act (HIPAA), the Records Management Handbook (entitled The Disposition of Federal Records), and the District of Columbia Records Comprehensive Retention Schedule Number 41.

This issuance is based on (Public Records of the District of Columbia), D.C. Official Code § 4-1302.03, § 4-1402.04, § 4-1405c, and § 4-1403.06.

If you have any questions regarding this Administrative Issuance, please contact the CFU.

General Procedures for Opening, Tracking and Maintaining Hard Copy Case Records

1. The CFSA social worker responsible for opening a case record shall register the case record with the CFU, in addition to entering appropriate data into FACES. Additional volumes created for cases shall also be registered with the CFU.
2. For records of committed children that are wards of the District of Columbia, a record shall be created for each child by the social worker.
3. All CFSA and private agency case records shall be labeled and formatted according to Agency standards. The CFU shall neither accept loose documents nor case records that are not contained and bound in an agency standard classification folder. Manila folders shall not be accepted.
4. The CFU shall not accept overfilled records. If the folder is too full, then an additional volume shall be created by the social worker prior to being accepted into CFU.
5. When opening a new case record, the worker shall follow the case record keeping guidelines (See Attachment F).

Note: For the purpose of this AI, a case is defined as a collection of individual records that consist of the birth parents/family's record and the corresponding biological children listed in the case.

Procedures for Transferring CFSA Case Records between Programs and Private Agencies

The District of Columbia and Federal Law establishes the confidentiality of all information generated or maintained by the CFSA. All records or files identifying client family members or other persons or individuals affiliated with a client's case are to be considered confidential and protected information (See CFSA's Confidentiality Policy for additional information). The following procedures shall be followed by all CFSA and contract workers when transferring case records between CFSA Program Areas and/or between CFSA and Private Agencies:

1. All transfers between program areas and private agencies in shall come through the CFU. The CFU staff reserves the right to request CFSA and/or private agency identification.
2. No records shall be transferred from one CFSA program to another CFSA program or from the custody of CFSA to a private agency without a Case Transfer Staffing and/or prior approval of the supervisor/program manager/administrator or CFU.
3. After a case record has been deemed appropriate for transfer in the Case Transfer Staffing and the record(s) have been reviewed for completeness by the supervisor/program monitor, the case record(s) shall be transferred to the intended program area/private agency. If a supervisor is not present to approve the transfer of case records, then the covering supervisor or the next highest level manager shall approve the transfer.
4. The supervisor or program manager shall electronically transfer the automated record(s) from the originating unit/program area to the new/intended program area/Private Agency in FACES and notify the CFU.
5. If the case record is incomplete, the supervisor shall request all missing files either from the CFU or the social worker. The case record shall not be transferred until all necessary documentation is completed. If this is impossible, then a notation shall be made by the CFU to that effect.
6. The case record shall be transported to the CFU by the social worker or supervisor in preparation of transfer to the receiving program area or private agency. In instances where there are large volumes of records to be transported, arrangements shall be made by the social worker or supervisor to have the records picked up from the social worker and delivered to the CFU.
7. All records received in the CFU for transfer shall be signed into the sign-in book by the transferring program/administration, or be accompanied by a charge-in sheet (for batches of records) that shall be signed and filed by the CFU staff once received. There are no exceptions.
8. The CFU staff shall accept and "check-in" the record(s) within the FACES Records Management Module (RMM). The CFU staff shall notify the new program area or intended program area or private agency telephonically and electronically when the case records are ready for pick-up from the CFU.
9. Staff picking up transferred records shall sign a Check-Out Sheet prior to a records release. The CFU staff shall "Sign-Out" the records in the FACES RMM to the CFSA program area/private agency staff receiving the records.
10. All CFSA and Private Agency transfers shall be assigned to a new worker/supervisor within five (5) calendar days from the date of receipt.

Procedures for Transferring Case Records to CFSA Closed Files

The following procedures shall be used when transferring closed case records from CFSA program areas and Private Agencies to the Centralized Filing Unit (CFU):

1. The assigned social worker shall forward the case record (all volumes) to the supervisor who must ensure that the case has been appropriately closed in FACES and that all documents pertaining to the case have been adequately filed in the case record(s).
2. The supervisor shall approve all requests for case closure, submitted by the social worker, to the supervisor's approval in-box in FACES. No records shall leave the unit for closure without first being approved by the supervisor.
3. All records received in the CFU for closure shall be documented in the sign-in book or be accompanied by a check-in sheet (for batches of records) that shall be signed by the CFU staff and filed once received. There are no exceptions.
4. The CFU staff shall record the "Check In" in the FACES Records Management Module (RMM) and change the Location Type from "Active" to "Closed".
5. The CFU staff shall compare the number of volumes checked-in for closure with the number of volumes previously documented. If there is a discrepancy, CFU staff shall take necessary actions to ensure that all volumes are recovered. If this is impossible, it shall be noted that efforts have been exhausted.

Procedures for Retrieving Case Records from CFU/Closed Files

The following procedures shall be used when case records are to be retrieved from the CFU/Closed Files:

1. Authorized CFSA and Private Agency employees shall request closed case records from the CFU by completing a Case Record Request Form, available from the CFU (See Attachment B). All information requested on the form must be completed. Incomplete forms will be returned, and records will not be released. Closed Record Request Forms shall be processed twice daily: 10:30 AM and 3:00 PM. Emergency requests for closed records (i.e. child fatalities and emergency hearings) shall be serviced immediately.
2. All closed records must be returned to CFU/closed files within five (5) business days, with the exception of Child Protective Services, emergency hearings, or special reviews/audits.
3. CFU staff shall ensure that information entered on the Case Record Request Form is accurate (according to FACES).
4. CFU staff shall contact the requesting employee telephonically and electronically with the status of the request within one business day of request.
5. **For closed cases:** in the event that a closed case is not readily available, CFU staff shall perform a thorough and exhaustive search in the CFU area, including contact with the last known social worker assigned to the case at the time of closure in FACES. **For Active cases:** if the case record is not readily available, CFU staff shall perform a thorough and exhaustive search in all CFU areas, including storage and archival areas. CFU staff shall also contact the last known requester if not the social worker currently assigned the case in FACES.
6. If, after a thorough and exhaustive search the requested record is not found within thirty (30) calendar days, the record will be added to the List of Missing Records (LMR) and a new record shall be created by the social worker to whom the record was assigned and/or checked out. A copy of the LMR shall be posted in the CFU and Closed Files Areas. Additionally, a copy of the LMR shall be circulated monthly to all CFSA employees and the Private Agencies by e-mail, alerting them that if any of the listed records are located, CFU is to be notified immediately.

7. CFU staff shall notify the assigned social worker and requester via telephonically and electronically if and when the original record has been located. The original record shall be consolidated with the newly created record by the assigned social worker.
8. The CFU shall be responsible for updating the LMR.
9. After having been notified telephonically and electronically that the record is ready for pick-up, the receiving worker shall sign the appropriate area of the Case Record Request Form, acknowledging receipt of the records. Employees shall not sign for records not received. Case Records that have not been picked-up within three (3) days will be re-filed.
10. CFU staff shall check out the record(s) to the receiving worker in the FACES RMM and file the Case Record Request Form. CFU staff reserve the right to require proof of CFSA and/or private agency identification.
11. Once the case record is ready to be returned to CFU, the social worker or supervisor returning the record(s) to the CFU shall sign in the case record in the Sign In Book or use a Check In Sheet (for batches of records).
12. The CFU staff shall check in the record(s) in the FACES RMM and file the Check In Sheet if necessary.

Protocol for Viewing of Closed Foster Care Case Record(s) by Former Client, Child of Former Client, or Legal Representative of Former Client

The CFU, in conjunction with the office of the General Counsel, will honor requests from an adult (age 21 or over), who was formerly in the foster care system in the District of Columbia. It will also honor requests from a birth parent of a child(ren) who was/were placed in the Agency's care. Legal Guardians representing an adult who was previously placed in the Agency's care and is mentally or cognitively challenged, regardless of the child's age, shall provide an order from the court designating the requesting individual as the adult's legal guardian. The purpose for the legal guardian requesting approval to review the record(s) must be noted in the court order. The following protocol is required for viewing closed foster care case records:

1. A written request, for all case records, with an official court seal, to review the case record shall accompany a copy of a state-issued identification for submission to the Office of the General Counsel. The request must contain all the information necessary to perform a successful search for the closed record, including the child's name while in care, DOB, social security number (if known), birth parents' names, birth parents' DOBs, Provider/Foster Parents/Group Home name or name of Agency (if Private Provider) and the year the case was closed.
2. In such instances where a request, with an official court seal, has been submitted to the CFU supervisor, the CFU supervisor shall forward the request to the Office of the General Counsel for consultative and supervisory assistance to prevent breach of confidentiality, loss of documents or removal of information from the respective record.
3. Adult children (age 21 or over) may view their own case record, but may not view the Family Case Record(s) for reasons of confidentiality and privacy.
4. If a child is still in care, birth Parents may view the records of their biological children at the discretion of the Office of the General Counsel. If the child has been legally freed by the Superior Court of the District of Columbia, a court order, with the court's official seal must accompany the request.
5. Upon receipt of the written request, with official court seal, and possession of the requested closed case record, the CFU supervisor shall forward the case record to the Office of the General Counsel which shall then make arrangements for supervision and viewing of the case record.

6. Records shall be viewed within a location designated by the Office of the General Counsel. No record shall be removed from the designated location without prior written permission from the Office of the General Counsel or the Director of CFSA. A legal representative from the OGC shall provide supervisory assistance to prevent breach of confidentiality, loss of documents, and/or removal of information from the respective Closed Foster Care record.

Protocol for Request of Closed Adoption Case Record(s)

CFSA will keep closed adoption records confidential. Information will be provided to other agencies only when it is necessary to effect a subsequent adoption for the child or is otherwise deemed to be in the child's best interest. CFSA will restrict access to adoption records, unless under specific circumstances involving the Director of CFSA or a private agency, an Adoptions Program Manager or in the event of a special audit or federal review. When an exception is justifiable for access to a closed adoption record, a request for authorization to review the record is made through the OGC. For the purpose of requesting closed adoption records:

1. All requests for Closed Adoption cases shall require a written court order before they are processed.
2. Upon receipt of such an order, the CFU Supervisor shall contact the Office of the General Counsel to arrange for a viewing of the Closed Adoption Case Record. This requirement does not apply to court orders for "break seal"/searches. Upon receipt of a court order to "break seal", the CFU staff shall provide the closed adoption record to the respective social worker requesting the record. The Adoption Unit may request assistance from OGC if necessary.
3. Records shall be viewed within a location that has been designated by the Office of the General Counsel (OGC). No record shall be removed from the designated location without prior written permission from the OGC or the Director of CFSA. A legal representative from the OGC shall provide supervisory assistance to prevent breach of confidentiality, loss of documents, and/or removal of information from the respective Closed Adoption record.

Procedures for Transferring Case Records to the DC/Federal Records Center/Archive

According to CFSA's Records Retention Schedule, CFSA case records shall be stored in closed files on-site for five (5) years after the date of creation or five (5) years from the date of closure prior to being transferred for archival (DCMR Ch. 15, 1508.6).

1. Once all of the boxes are marked, a Records Transmittal and Receipt Form (SF-135) shall be prepared. All of the information on the boxes must be written on the SF-135.
2. Preparation of the SF-135 must include the following:
 - a. signature of the CFU staff preparing the boxes;
 - b. subgroup code (*same as agency code listed in the District of Columbia Government Telephone Directory*);
 - c. name of the agency;
 - d. name of the office transferring records;
 - e. records series;
 - f. inclusive date of records;
 - g. disposal authority;
 - h. disposal date; and
 - i. the address of the District of Columbia Records Center.
3. The SF-135 must be sent to the District of Columbia Records Center for review and processing.
4. The CFU supervisor shall ensure safe and timely record transport to the DC/Federal Records Center/Archives.

Procedures for Retrieving Case Records from the DC/Federal Records Center/Archives

Turnaround time for retrieving a case record from the DC/Federal Records Center/Archives is approximately seventy-two (72) hours. The following procedures are required for timely retrieval of case records from the Archives:

1. Only an authorized CFSA employee may request the CFU to retrieve a case record from the DC/Federal Records Center/Archives. The CFU is the sole authorized agent for the direct request of a record from Archives.
2. The assigned CFU staff shall complete and forward a copy of the Reference Request Form (Form -11) (See Attachment C) to the DC Records Center.
3. An authorized CFU staff shall physically go and pick-up the record/folder or box from the DC/Federal Records Center/Archives (unless prior arrangements have been made) and deliver the record/folder or box to the CFU. Both the delivering and receiving parties shall sign for the record(s).
4. A designated CFU staff shall record the transfer or "Check In" into the FACES (Records Management Module) RMM, changing the Location Type from "Archive" to "Closed" in the RMM.
5. The CFU staff shall contact the requesting person/entity so that they may sign for and retrieve the record/folder or box.

Returning Case Records to DC/Federal Records Center/Archives

The following steps are required for returning records to the DC/Federal Records Center/Archives:

1. The recipient of the file or record box shall attach the white copy of Form -11 to the record/folder [or to the box] upon return to the CFU.
2. The CFU shall telephone the DC Records Center to arrange pick-up or have an authorized CFU staff person return the record/folder or box to the DC Records Center.
3. CFU staff shall change the Location Type in RMM from closed back to Archive.

Family and Children Active Case Records Maintained at the Work Stations of Social Workers Located at 400 6th Street, SW

This Administrative Issuance sets out the essentials for managing the maximum number (5) of case records that are kept at CFSA social worker's work stations. The following is required:

1. For case loads that exceed five case records allowed at each work station or within the work area, the social worker shall transport those case records to the CFU. In the event an active case record is requested from the CFU, the maximum number (5) of case records shall not exceed the number (5) of case records allowed at work stations.
2. In the event of extenuating circumstances (i.e., when an employee resigns, retire, transfers to another program, etc.) and all active case records pertaining to that individual's case load are needed to ensure that documented information is current, he/she may request to have more than the required number of case records at his/her work station or within the work area.
3. For case records that are maintained at work stations social workers shall ensure that the contents are protected from theft, loss, damage, and unauthorized use or disclosure.
4. To retrieve an active case record from the CFU the social worker shall request the record from the CFU by completing a Case Record Request Form, available from the CFU. All information requested on the form must be completed. Incomplete forms will be returned and the record(s) will not be released.

5. All family and children active case records that are managed at staff work stations, unattended, or not in use shall be stored in a safe and secured locked file cabinet located within cubicles, or within the work area, or restricted office access that requires a key or swipe card, to safeguard their physical integrity and confidentiality.
6. Social workers, who keep records at their work station, shall be responsible for informing the CFU of any lost or damaged records.
7. Social workers shall ensure that direct access to the records that are kept at work stations shall be readily accessible to the supervisors, program managers, and those who need access to the case records for a legitimate purpose.
8. All closed CFSA records shall be returned to the Central Files Unit for storage.
9. Case records transported to the CFU must be documented in the sign in book or accompanied by a check in sheet that shall be signed by the CFU staff once the case record is received.
10. All other record management procedures outlined in this issuance shall be followed by all CFSA social workers.

Family and Children Active Case Records Maintained at the Work Stations of Social Workers Located in the Community

All CFSA social workers in the community are required to maintain family and children active case records as established in the CFSA Central Filing Unit Records Management Procedures Administrative Issuance.

The following exception applies only to those CFSA social workers in the community:

1. Social workers in the community may have more than the required number (5) of active case records at their work stations.
2. If the active case records exceed the available storage space at a social worker's work station (i.e., cubicle), those case records shall be stored in a secured locked file cabinet within the work area.

Definitions

Caseload: the total number of family and/or child cases serviced by a caseworker.

Case Record: the physical folder in which case information is maintained and electronic data pertaining to individuals in reference to the case, including information in the Child Protection Register (CPR).

Check In: a process for returning/transferring case records to CFU/closed files.

Legally Free: to legally sever the parent-child relationship.

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Child and Family Services Agency

CENTRALIZED FILING UNIT
Case Record Request Form

COMPLETED BY CFU STAFF ONLY

CASE PULLED BY: _____

DATE: _____

(This form must be filled out completely by requesting worker)

Requestor _____ Date _____

Program _____ Time _____

Phone Number _____ Pickup Date _____

Client Name	Case ID	Year Closed

RECEIVED BY:
(DO NOT SIGN UNTIL YOU HAVE RECEIVED THE RECORD(S))

Signature

Date

REFERENCE REQUEST – D.C. RECORDS CENTER			NOTE: Use a separate form for each request	
Section I – To Be Completed By Requesting Agency				
Record Group No.	Accession No.	Agency Box Number	Records Locations Number	
Description of Record(s) or information requested (include file number and title)				
BOX				
FOLDER				
Remarks				
Nature of Service				
<input type="checkbox"/> Furnished Copy of Records ONLY <input type="checkbox"/> Permanent Withdrawal <input type="checkbox"/> Temporary Loan of Records <input type="checkbox"/> Review <input type="checkbox"/> Other				
Name of Requester	Telephone No.	Date	Receipt of Records	
Name and Address			Requester please sign, date, and return form for file item(s) listed above,	
			Signature	Date
Section II – For Use By Records Center				
<div> <div>📁</div> <div>Records not in Center Custody</div> </div> <div> <div>📁</div> <div>Wrong Box Number – Please recheck</div> </div> <div> <div>📁</div> <div>Additional information required to identify records</div> </div> <div> <div>📁</div> <div>Missing (neither record(s), information nor charge card found in container)</div> </div> <div> <div>📁</div> <div>Records Destroyed</div> </div>			Remarks	
			Agency will pick-up	
			Date	Service
			Time Required	Searcher's Initials

RECORDS TRANSMITTAL AND RECEIPT Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.								Page 1		of Pages		
1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150) <div style="text-align: center;">Federal Records Center</div>					5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address) <div style="text-align: center;"> William Walker, Records Manager Office of Public Records 1300 Naylor Courts, N.W. Washington, DC 20001 </div>							
2. Agency Transfer Authorization		Transferring Agency Official (Signature and Title) William Walker Records Manager (202) 671-1111 Office of Public Records		Date								
3. Agency Contact		Transferring Agency Liaison Official (Name, office & telephone no.) James Posey/ Records Manager Child & Family Services Agency										
4. Records Center Receipt		Records Received By (Signature and Title)		Date								
Fold Line<												
6. RECORDS DATA												
Accession Number									Completed By Records Center			
RG (a)	FY (b)	Number (c)	Volume (cu.ft) (d)	Agency Box Numbers (e)	Series Description (With Inclusive dates of records) (f)	Restriction (g)	Disposal Authority (Schedule and item number) (h)	Disposal Date (i)	Location (j)	Shelf Plan (k)	Cont. Type (l)	Auto Disp. (m)

NSN 7540-00-634-4093

135-107

Standard Form 135 (Rev. 7-85)
Prescribed by NARA
36 CFR 1228.152

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Child and Family Services Agency

Business Services Administration
Centralized Filing Unit

Box_____

CHECK IN SHEET

CASE ID	CLIENT NAME	VOLS.	DATE CLOSED

CFU STAFF SIGNATURE

DATE

CASE RECORD KEEPING GUIDELINES

SECTION A

[Arrange in Ascending Order]

Identifying, Judicial and Legal Information

Identifying Information

Birth Certificate for Child(ren)	FR	CR
Application for Birth Certificate	FR	CR
Social Security Number for Child(ren)	FR	CR
Death Certificate	FR	CR
Application for Certified Copy of Death Certificate (UNIV – 510)	FR	CR
Child Fatality Report	FR	CR

Legal Documents

Complaint Report Form	FR	CR
Initial Petition (With ACC signature)	FR	CR
Affidavit of Efforts	FR	CR
Relinquishment of Parental Rights Form (LSA-179)	FR	CR
Acknowledgement of Paternity Form LSA-173)	FR	CR
Abscond Summary Report (PPA-ABS-621)	FR	CR
Custody Order Request Form (PPA-ABS-509)	FR	CR
Non-Compliance with Custody Order Procedures (PPA-ABS-S18)	FR	CR
Termination of Parental Rights Referral Form	FR	CR
Notice of Petition for Adoption to Non Custodial Biological Mother (LSA-181)	FR	CR
Notice of Petition for Adoption to Non Custodial Putative Father (LSA-172)	FR	CR
Notice to Non-Custodial Biological Father Of and Open Abuse or Neglect Case (LSA-182)	FR	CR
Notice to Non-Custodial Biological Mother Of and Open Abuse or Neglect Case (LSA-184)	FR	CR

CASE RECORD KEEPING GUIDELINES

Notice to the Named (Putative) Non Custodial Biological Father (LSA-183)	FR	CR
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Notice to the Named (Putative) Non Custodial Biological Mother (LSA-186)	FR	CR
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Voluntary Placement Agreement (PPA-FC-431)	FR	CR
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Court Reports

Court Social Services Reports	FR	CR
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Status Reports	FR	CR
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Pre-disposition Report	FR	CR
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Review of Disposition Reports	FR	CR
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Interim Reports (CRT-803)	FR	CR
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Review Reports (CRT-801)	FR	CR
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Ex-Porte Reports	FR	CR
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Permanency Hearing Report (CRT-802)	FR	CR
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Guardian ad litem Report		CR
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CASA Reports	FR	CR
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Court Orders/Judicial Determinations

Pre-Trial Court Order	FR	CR
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Neglect Abuse Disposition Order Stipulations	FR	CR
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Intermediate Review of Disposition/ Extension of Jurisdiction Order	FR	CR
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Permanency Planning Hearing Order	FR	CR
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Custody Order	FR	CR
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Findings of Fact	FR	CR
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Motions	FR	CR
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Court Related Adoptions Documents

Termination of Parental Rights Order	FR	CR
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Consent of Natural Parent To Adoption (CRT-SVCS-491)	FR	CR
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Order of Reference		CR
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Final Decree of Adoption		CR
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Petition for Adoption		CR
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CASE RECORD KEEPING GUIDELINES

Adoption Report and Recommendations Part One	CR
Adoption Report and Recommendations Part Two	CR
Supplemental Adoption Report	CR
Request for Extension of Time to File (CRT-805)	CR
Review after Termination of Parental Rights Order	CR

Section B [Arrange in Ascending Order] **Case History**

Family Face Sheet (DHS-878)	FR	
Child's Face Sheet (DHS-876)		CR
Report of Alleged Neglect Form (DHS-1530)	FR	CR
Initial Investigation of Neglect/Abuse Form (DHS-1535)	FR	CR
Juvenile Report Form (PD-379)	FR	CR
Hotline Screening Tool	FR	CR
Intake Risk Assessment	FR	CR
Summary of Intake Investigation	FR	CR
Court Social Services Social Investigation	FR	CR
Transfer Summary (UNIV-425)	FR	CR
Closing Summary	FR	CR
Notice of Case Action (DHS-701)	FR	CR
Record of Case Action (DHS-1052)	FR	CR
Notice of Case Closure (UNIV-531)	FR	CR
Notice of Case Transfer (UNIV-533)	FR	CR
Contact Report (UNIV-630)	FR	CR
Verification Case Activity (IFSA-INT-527)	FR	CR

CASE RECORD KEEPING GUIDELINES

Section C [Arrange in Chronological Order]

Case Planning and Administrative Case Review Activity

Initial Family Case Plan	FR	CR
Initial Case Plan for Child in Care	FR	CR
FACES Case Plan (PPA-FC-545)	FR	CR
Family Case Plan Update	FR	CR
Child in Care Case Plan Update	FR	CR
FACES Family Assessment (PPA-FC-546)	FR	CR
Safety Plan Reassessment	FR	CR
Risk Assessment	FR	CR
Strengths/Needs Assessment/Reassessment	FR	CR
Risk Assessment	FR	CR
Individual Treatment Plan (ITP) (For children placed in therapeutic and residential treatment centers)	FR	CR
Signed Service Agreements	FR	CR
FACES Service Agreement (PPA-FC-547)	FR	CR
Administrative Review Summary	FR	CR
FACES Summary of Administrative Review (ADM-REV-8)	FR	CR
Administrative Review Notification Letter	FR	CR
FACES Request to Attend an Administrative Review (ADM-REV-9)	FR	CR
Notice of Change in Permanency Goal (PPA-ADP-528)	FR	CR
Notice of Adoption Plan	FR	CR
Diligent Search Referral	FR	CR
Adoption Subsidy Agreement		CR
Notice of Intent to Adopt		CR
Referral for Adoption Recruitment		CR
Referral for Child Specific Adoption Recruitment		CR
Permanency Staffing Forms	FR	CR
Long-Term Foster Care Agreement	FR	CR
180 Day Admin Review Conference	FR	CR

CASE RECORD KEEPING GUIDELINES

Section D [Arrange in Chronological Order]

Evaluations and Progress Reports

Kinship Home Study Evaluations	FR	CR
Psychiatric Evaluations	FR	CR
Psychological Evaluations	FR	CR
Developmental Evaluations	FR	CR
Forensic Screenings/Evaluations	FR	CR
Social Histories	FR	CR
Clinical/Therapeutic Summaries	FR	CR
Progress Report Service	FR	CR
Collaborative Progress Report	FR	CR
Progress Reports from Placement Providers	FR	CR
Medical Screenings	FR	CR
DC KIDS Reports	FR	CR
Birth Histories	FR	CR
Hospital Records	FR	CR
Immunization Records	FR	CR
Medical Evaluations/Examinations/Treatments	FR	CR
Dental Evaluations/Examinations/Treatments	FR	CR
Vision Evaluations/Examinations/Treatments	FR	CR
Childhood Intervention Evaluations and Progress Reports	FR	CR
Individual Habitation Plans (IHP)	FR	CR
Individual Education Plans (IEP)	FR	CR
Individual Treatment Plans (ITP) (As related to out-patient therapy)	FR	CR
Educational Progress Reports	FR	CR
Educational Attendance Reports	FR	CR
Educational Performance Reports (Advisory Grades/Deficiency Notices)	FR	CR
Vocational Evaluations/Reports	FR	CR
Employment Records	FR	CR

CASE RECORD KEEPING GUIDELINES

Section E

[Arrange in Chronological Order]

Correspondence Authorizations / Consents

Inter/Intra-Agency Correspondence	FR	CR
Information and Exchange Form (DHS-886)	FR	CR
Contracts	FR	CR
Purchase of Service Agreements (PSA)	FR	CR
Unusual Incident Report (UNIV-620)	FR	CR
Notification of Change in Placement	FR	CR
Referrals for Community Based/Collaborative Services	FR	CR
Referrals for Professional Evaluations/Services	FR	CR
FACES Residential Placement Unit Admission/Demographic Information (RDA-PLP-321)	FR	CR
Keys for Life Referral FCFU (IFSA-CSA-354) Tuition	FR	CR
Authorizations for Private/Out of Jurisdiction Schools	FR	CR
Request for Approval for Overnight Trips (UNIV-409)	FR	CR
Provider Payment Authorization Forms/Approvals	FR	CR
Clothing Allowance Forms	FR	CR
Special Board and Care Payment Authorizations	FR	CR
Authorization to Provide Medical Treatment, Surgery And/or Anesthesia ICPC 100A (PPA-ICPC-263) ICPC 100 B (PPA-ICPC-264)	FR	CR

Section F

[Arrange in Chronological Order]

Data and Entitlement Forms

Request for Placement Forms (DHS-1013) PL	FR	CR
RO Placement Forms	FR	CR
Declaration for Medical Form (DHS-304)	FR	CR
Citizen/Alien Declaration	FR	CR
WTS Forms	FR	CR
Focus Forms	FR	CR

CASE RECORD KEEPING GUIDELINES

Supervisor's Case Record Review Sheet	FR	CR
Quality Assurance Transmittals/Feedback Forms	FR	CR
Supervisory Review System (SRS) Questionnaires	FR	CR
Case Review Summary Form	FR	CR
ACEDS Reports	FR	CR
Police Clearances	FR	CR
Child Abuse and Neglect Clearances	FR	CR
FBI Clearances	FR	CR
IV-E Summary (PPA-FC-700)	FR	CR
Title IV-E Eligibility Forms	FR	CR
Title IV-E Re-determination Forms	FR	CR
Title IV-E Reimbursable Summary	FR	CR
Medical Assistance Data Entry Forms	FR	CR
Medicaid Location Code Change Sheet	FR	CR
Medical Termination Forms	FR	CR